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Re: Application No. 09/726,266 Attorney Docket No: AUS9-2000-0486-US1	
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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Pratt et al. § ..... Group Art Unit: 2154 .....

Serial No.: 09/726,266 §

Examiner: Lee, Philip C. §

Filed: November 30, 2000 §

Attorney Docket No.: AUS9-2000-0486-US1 §

For: **Method for Managing Resources  
on a Per User Basis for UNIX Based  
Systems**

35525

PATENT TRADEMARK OFFICE  
CUSTOMER NUMBER

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TRANSMITTAL DOCUMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:  
ENCLOSED HEREWITH:

- Appeal Brief (37 C.F.R. 41.37).

A fee of \$500.00 is required for filing an Appeal Brief. Please charge this fee to IBM Corporation Deposit Account No. 09-0447. No additional fees are believed to be necessary. If, however, any additional fees are required, I authorize the Commissioner to charge these fees which may be required to IBM Corporation Deposit Account No. 09-0447. No extension of time is believed to be necessary. If, however, an extension of time is required, the extension is requested, and I authorize the Commissioner to charge any fees for this extension to IBM Corporation Deposit Account No. 09-0447.

Respectfully submitted,

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PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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In re application of: Pratt et al.

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on February 16, 2005.

By:

Monica Gomez

APPEAL BRIEF (37 C.F.R. 41.37)

This brief is in furtherance of the Notice of Appeal, filed in this case on December 16, 2004.

The fees required under § 41.20(B)(2), and any required petition for extension of time for filing  
this brief and fees therefore, are dealt with in the accompanying TRANSMITTAL OF APPEAL  
BRIEF.Appeal Brief Page 1 of 38  
Pratt et al. - 09/726,266

**REAL PARTY IN INTEREST**

The real party in interest in this appeal is the following party: International Business Machines Corporation.

**RELATED APPEALS AND INTERFERENCES**

With respect to other appeals or interferences that will directly affect, or be directly affected by, or have a bearing on the Board's decision in the pending appeal, there are no such appeals or interferences.

**STATUS OF CLAIMS**

**A. TOTAL NUMBER OF CLAIMS IN APPLICATION**

The claims in the application are: 1-28

**B. STATUS OF ALL THE CLAIMS IN APPLICATION**

1. Claims canceled: 4, 13, 14, 16, and 17
2. Claims withdrawn from consideration but not canceled: None
3. Claims pending: 1-3, 5-12, 15, and 18-28
4. Claims allowed: None
5. Claims rejected: 1-3, 5-12, 15, and 18-28

**C. CLAIMS ON APPEAL**

The claims on appeal are: 1-3, 5-12, 15, and 18-28

**STATUS OF AMENDMENTS**

No Amendments have been filed subsequent to the rejection.

**SUMMARY OF CLAIMED SUBJECT MATTER**

**A. CLAIM 1 - INDEPENDENT**

The subject matter of claim 1 is directed to a method for managing resources on a computer network. A configuration file is created for each user on the network. When a user logs onto a local client computer, the user identity is matched to the configuration file. Based on the configuration file, the user is allowed access to particular resources on the local client computer. In the UNIX Operating System, all resources must be attached at the local computer. What the method of claimed invention does is set up a configuration file for each user. The configuration file allows a user to attach quickly resources to which he is supposed to have access. Thus, the method of claim 1 allows users to access an individualized configuration of network resources from any client within the network, rather than limiting the configuration to one particular client. Support for claim 1 may be found on page 9, line 22 through page 10, line 30 and in Figure 4.

**B. CLAIM 18 – INDEPENDENT**

Claim 18 is directed to a computer program product in a computer readable medium for carrying out the method claimed in claim 1. Support for claim 18 may be found in page 9, line 22 through page 10, line 30 and in Figure 4.

**C. CLAIM 27 - INDEPENDENT**

Claim 27 is directed to a system for managing resources on a computer network where the system is designed to carry out the method of claim 1. Support for claim 27 may be found on page 9, line 22 through page 10, line 30 and in Figure 4.



The means for defining the contents for a configuration file may be found on page 10, lines 9 through 12. The support for a means for receiving a login identification for user may be found in network 102 shown in Figure 1 and described on page 5, line 4 through page 6, line 21. The means for matching the user identity with the user configuration file may be found in Figure 2 and specifically processors 202 and 204 in Figure 2, which are described on page 6, line 25 through page 7, line 5. The means for attaching network resources to a client computer based on the user identity and contents of the user configuration file may be found in Figure 1, specifically network 102, which is described on page 5, line 5 through page 6, line 21. Support for the term “wherein said computer network is configured to run on an operating system that includes an attachment of resources to a given computer to be formed on said given computer” may be found on page 1, lines 24 through 30.

#### **C. CLAIM 28 – DEPENDENT**

Support for “means for receiving a log out command from the user” may be found in network 102 shown in Figure 1 and described on page 5, line 4 through page 6, line 21. The means for matching the user identity with the user configuration file may be found in Figure 2 and specifically processors 202 and 204 in Figure 2, which are described on page 6, line 25 through page 7, line 5.

Support for “means for unattaching the attached resources to a client computer based on the user identity and contents of the user configuration file” may be found in Figure 1, specifically network 102, which is described on page 5, line 5 through page 6, line 21. Support for the term “wherein said computer network is configured to run on an operating system that includes an attachment of resources to a given computer to be formed on said given computer” may be found on page 1, lines 24 through 30.

**GROUND OF REJECTION TO BE REVIEWED ON APPEAL**

**A. GROUND OF REJECTION 1 (Claims 1-3, 5-9, 15, 18-23 and 27)**

Claims 1-3, 5-9, 15, 18-23, and 27 are rejected under 35 U.S.C. § 103(a) as being obvious over Pereira, System and Method for Controlling Access to Personal Computer System Resources, U.S. Patent 5,809,230 (Sep. 15, 1998) in view of Win et al, Administrative Roles That Govern Access to Administrative Functions, U.S. Patent 6,161,139 (Dec. 12, 2000).

**B. GROUND OF REJECTION 2 (Claims 10-11, 24-25 and 28)**

Claims 10-11, 24-25 and 28 are rejected under 35 U.S.C. § 103(a) as being obvious over Pereira and Winn in view of Hudson et al, System and Method for Accessing Enterprise Wide Resources by Presenting to the Resource a Temporary Credential, U.S. Patent 6,055,637 (Apr. 25, 2000).

**C. GROUND OF REJECTION 3 (Claims 12 and 26)**

Claims 12 and 26 are rejected under 35 U.S.C. § 103(a) as being obvious over Percira and Win in view of Bauer et al, Method for Controlling Resource Usage by Network Identities, U.S. Patent 5,819,047 (Oct. 6, 1998).

ARGUMENT

**A. GROUND OF REJECTION 1 (Claims 1-3, 5-9, 15, 18-23 and 27)**

**A.1. Claims 1, 18 and 27**

**A.1.1. THE PROPOSED COMBINATION DOES NOT RESULT IN THE CLAIMED INVENTIONS.**

The examiner rejects claims 1, 18 and 27 under the assertion that:

7. As per claims 1, 18 and 27, Pereira taught the invention substantially as claimed for managing resources in a computer network; comprising:

receiving a login identification from a user on a given computer that uses a given operating system, wherein said given operating system requires that attachment of resources to said given computer be performed on said given computer (col. 1, lines 47-54; col. 7, lines 10-37; col. 9, lines 34-col. 10, line 33);

matching the user identity with said user configuration file (col. 1, lines 47-54; col. 7, lines 10-37; col. 9, line 34-col. 10, line 33); and

in response to said matching step, executing a resource attachment program on said given computer to attach network resources to said given computer based on the user identity and the contents of said user configuration (col. 1, lines 47-54; col. 7, lines 10-37; col. 9, line 34-col. 10, line 33).

8. Pereira did not teach defining configuration file for each network user. Win taught a similar system comprising:

defining the contents of a configuration file for each network user (col. 12, lines 45-50; col. 15, lines 30-37).

9. It would have been obvious to one having ordinary skill in the art at the time of the invention was made to combine the teachings of Pereira and Win because Win's system of defining configuration file for each network user would increase the functionality of Pereira's system by providing resource access control for user accessing a computer over the network (col. 2, lines 35-49).

Office Action of October 22, 2004, pages 3-4, paragraphs 7, 8, and 9.

The examiner has failed to state prima facie obviousness rejections because the proposed

combination does not result in the claimed inventions. Neither Pereira nor Win show defining the contents of a configuration file for each network user. In addition, the examiner has failed to state how either reference shows defining the contents of a configuration file for each network user. The examiner asserts that Win does teach defining the contents of a configuration file for each network user, citing Win as follows:

Administration Application 114 is used by administrators to configure server components of the system, to set up user and resource records, assign roles to users and resources and manage changes to the system. The Administration Application provides these services by reading and writing information in Registry Server 108.

Win, col. 12, lines 45-50.

Preferably, the Administration Application 114 can display a User Information data entry form that accepts information defining a user. An administrator may complete and submit the data entry form for each individual user to be defined. In response, Registry Server 108 stores information defining the user in the Registry Repository 110. Each user is defined by personal information, login and password information, and account information."

Win, col. 15, lines 30-37.

For the reference to column 12, the cited text does not show creating a configuration file for each network user. Instead, the cited text merely shows that data on users, resources and roles in configuration information may be stored in a registry repository. Storing configuration information in a registry repository does not create a configuration file for each user. Win shows a centralized database stored on a single server and not a configuration file for each user. Similarly, the text cited from column 15 states registry server 108 stores information defining a user in the registry repository. Each user is defined by personal information, but the information is contained in a single database. A configuration file is not created for each user. This fact is shown in column 12, lines 20-29, which provides as follows:

Registry Repository 110 is the primary data store for the system 2. It contains data on Users, Resources and Roles and configuration information required for the system 2 to function. Selected data, for example, passwords, are stored in Registry Repository 110 in encrypted form. The data about Users, Resources and Roles stored in Registry Repository 110 represents the structure of an enterprise or organization that has protected resources. Data in Registry Repository 110 is managed using Administration Application 114.

Win, col. 12, lines 20-29

Because neither reference shows defining the contents of a configuration file for each network user, and because the examiner has failed to provide any reason why defining the contents of a configuration file for each network user would be obvious or even desirable, the proposed combination does not result in the claimed inventions. Accordingly, the examiner has failed to state prima facie obviousness rejections.

In addition, neither reference shows where the operating system described in either Pereira or Win requires attachment of resources on a computer network to the given computer to be performed on the given computer as claimed in claim 1. The examiner asserts that Pereira does show these claimed steps citing the following text:

Thus, there is a need to segregate files for one user on a PC from the other users. One way to keep a user from accessing certain files is to keep the user from gaining access to the application program that modifies the content of the file. Programs which control access to application programs are known which require a user to enter a password before the operating system activates the program for the user.

Pereira, col. 1, lines 47-54.

The system initialization file probably continues by verifying that the user bringing up the system is authorized for use of the system. If the user is authorized, installation of the programs necessary for the operating system and the user interface continues. Control is then transferred to the user interface so the user may begin to select programs for execution and use. If the user is not authorized for system use, the system initialization program denies the user access. After a predetermined number of attempts to gain access have failed, the program aborts system initialization.

Preferably, the resource control system and method of the present

invention are implemented by an access control program which is installed on the PC once a user is given access to the system. The program is typically provided on a diskette which is placed in the disk drive of a PC system. The diskette is provided with an installation program which creates a directory for the access control program on the user's hard disk drive. The files containing the program components are then copied into this directory. Part of the installation procedure is to insert commands into a system initialization file, such as the AUTOEXEC.BAT file, before the command which activates an operating system or Windows interface program. These commands activate the program components of the access control program before the operating system or Windows interface program is activated at system initialization. After the access control program is installed, the program requests the user to register as the Primary User and to identify a password. This password is used to identify the Primary User at subsequent logins.

Pereira, col. 7, lines 10-37.

By activating the ports tab 82, the ports program component generates a list of the communication and printer ports available on the system. An exemplary display is shown in FIG. 7. Those communication and printer ports which have an "X" in the window next to a port identifier, such as COM1, indicate that those communication and printer ports have been restricted from use for that user. In response to the definition of these ports as being restricted or not, the access control program generates a file identified by the user's identifier of ports to which the user is denied access.

The restricted lists for the groups, programs, directories, and ports are placed in files which are associated with a user's identifier. These files are then used by the access control program to modify system files when a user signs on the system. Specifically, after system initialization has been performed by the BIOS, control is transferred to the access control program. This program prompts the user for a user name and corresponding password. If the password and user name are verified, the files containing the lists of restricted groups, programs, directories, and ports are read by the access control program. The access control program uses the group and program lists to delete references to those files from the system files. In the Windows 3.x environment this is done by passing the lists to the dynamic data exchange (DDE) which causes the program manager to delete the specified resources from the Group and INI files. Thereafter, the only group folders and program icons which are displayed are those which were not deleted at user sign on. The access control program also monitors calls to the DDE and program manager to prevent the restoration of deleted resources to the system files by a user. The directory and port lists are used to generate tables for the program components of the access control program which control the I/O routines

that interface with the drives and ports of the PC system. These tables are maintained in memory with the program components and remain active regardless of whether the operating system or Windows interface program is executing since the DPML is used to make the memory in which the program components are located accessible. When the program components trap a request for a directory or port, the I/O routine of the program component verifies that the requested directory or port is authorized for the user currently on the system.

In the Windows 95 environment, the access control program modifies the registry file since this file is used to define the computer resources which a user can access and which the Windows 95 program accesses to generate displays of program icons and program groups. Because Windows 95 performs its own user login procedure, the transfer from the login procedure to the access program is done differently. The login procedure in Windows 95 assigns the user a default user registry file if the user cannot enter a password that corresponds with a user's identifier or if the user aborts the login procedure. To prevent this default user from gaining control of the system, the access control program modifies the default user profile in the registry file so the default user is not authorized to use any system resources. If the user enters a corresponding password, however, the files identified by the user's identifier are used to define the resources in the registry file. Since Windows 95 uses this file to display program icons and program groups, the system only displays the ones which the Primary User identified for the user through the access control program. The access control program may use an application program interface (API) to modify the registry system file in accordance with the restricted list files generated by the access control program.

Pereira, col. 9, line 34 through col. 10, line 33.

The examiner misapprehends Pereira. Pereira does not show that the given operating system requires that attachment of network resources to a given computer be performed on said given computer, as claimed. Pereira only discusses a method for controlling access to a personal computer by adjusting the boot record in the computer. Pereira does not discuss networks at all. Thus, the cited text provides absolutely no indication that the operating system requires attachment of network resources in a computer network to be performed on that computer. Win fails to cure the lack of disclosure in Pereira. Therefore, the examiner has failed to state a prima facie obviousness rejection of claims 1, 18, and 27, which all contain similar limitations.

In addition, the examiner has failed to state *prima facie* obviousness rejections because the examiner has failed to state a proper motivation to combine the references. A proper *prima facie* case of obviousness cannot be established by combining the teachings of the prior art absent some teaching, incentive, or suggestion supporting the combination. *In re Napier*, 55 F.3d 610, 613, 34 U.S.P.Q.2d 1782, 1784 (Fed. Cir. 1995); *In re Bond*, 910 F.2d 831, 834, 15 U.S.P.Q.2d 1566, 1568 (Fed. Cir. 1990). Regarding claims 1, 18 and 27, the examiner states that:

9. It would have been obvious to one having ordinary skill in the art at the time of the invention was made to combine the teachings of Pereira and Win because Win's system of defining configuration file for each network user would increase the functionality of Pereira's system by providing resource access control for user accessing a computer over the network (col. 2, lines 35-49).

Office Action of October 22, 2004, pages 3-4, paragraph 9.

The examiner's logic depends on an incorrect evaluation of both Pereira and Win. Therefore, the statement cannot serve as a motivation to combine the references. Because the examiner has not stated a proper motivation to combine the references, the examiner has failed to state *prima facie* obviousness rejections.

Furthermore, one of ordinary skill in the art would recognize that the combination of Pereira and Win would be impracticable. Pereira is directed to a method of controlling access to a single computer's resources by controlling the computer's boot record. Win is directed to storing information that defines administration roles over a network. For Win and Pereira to be combined, each local computer would have to be re-booted every time a new user attempted to access the computer over a network. No one would be motivated to waste time, effort, and money by rebooting every local computer each time a new user logs in. Thus, one of ordinary skill would recognize that the examiner's statement makes no sense. Accordingly, the examiner has failed to



state prima facie obviousness rejections. For this reason, the examiner has again failed to state prima facie obviousness rejections.

In addition, the examiner's statement only provides a purported advantage to combine the references but does not state why one of ordinary skill in the art would be motivated to either recognize or implement the advantage. Furthermore, the statement misses the point of the invention and therefore does not serve as a motivation at all. Because the examiner has failed to state a proper motivation to combine the references, the examiner has failed to state prima facie obviousness rejections of claims 1, 18, and 27.

Moreover, because one of ordinary skill would recognize that the examiner's proposed combination is impracticable and because the examiner's statement does not serve as a motivation, the examiner must have used Applicants' own disclosure when fashioning the rejections. Thus, the examiner has used impermissible hindsight to fashion the rejections. In determining obviousness, an applicant's teachings may not be read into the prior art. *Panduit Corp. v. Denison Mfg. Co.*, 810 F.2d 1561, 1575 n. 29, 1 U.S.P.Q. 1593, 1602 n. 29 (Fed. Cir. 1987) (citing need to "guard against hindsight and the temptation to read the inventor's teachings into the prior art"). A determination of the desirability of combining prior art references must be made without the benefit of hindsight afforded by an applicant's disclosure. *In re Paulsen*, 30 F.3d 1475, 1482, 31 U.S.P.Q. 1671, 1676 (Fed. Cir. 1994). Accordingly, the examiner has again failed to state prima facie obviousness rejections.

#### **A.1.2 Claims 1, 18, and 27 Are Non-Obvious in View of the References**

In addition, claims 1, 18 and 27 are non-obvious in view of the references. *Percira* is a security system that affects the basic levels of an individual computer's operating system. *Win* provides

centralized network security. If the methods of Pereira were incorporated into the methods of Win, then the user identity and privileges for each user at each computer would have to be set at boot-up for each individual computer. Thus, if users were to be changed at each computer, then each computer would have to be rebooted. If implemented over a network, one would have to reboot a local computer every time a new user is to gain access to a client computer. No one of ordinary skill would implement this system because it is slow, cumbersome, and wasteful of resources, time, and money. Thus, no one would be motivated to combine the references. Accordingly, the claims are non-obvious.

In addition, Pereira and Win are both relatively old references in the art of computer programs computers. The primary reference of Pereira issued in 1998 and Win issued in 2000. Pereira is about seven years old and Win is about five years old. In the art of managing resources on UNIX based systems, in view of the extremely rapid pace of development in the computer arts generally, seven years and five years represents a very long time. If it had been obvious to combine the references in the manner suggested by the examiner, then one of ordinary skill would have already done so, given the advantages that the claimed inventions have over the prior art. Therefore, claims 1, 18 and 27 are non-obvious over Pereira in view of Win.

#### **A.1.3 Claims 1, 18, and 27 are Patentable over Pereira in View of Win**

In summary, the examiner has failed to state prima facie obviousness rejections of claims 1, 18 and 27 because the proposed combination does not result in the claimed inventions, because the examiner has failed to state a proper motivation to combine the references, and because the examiner used impermissible hindsight to fashion the rejections. In addition, claims 1, 18 and 27 are non-obvious in view of the references because the proposed combination would be slow and

impracticable and because if combining the references had been obvious, then one of ordinary skill would have already done so.

## A.2 Claims 2 and 15

Regarding claims 2 and 15, the examiner asserts that:

10. As per claims 2 and 15, Pereira and Win taught the invention substantially as claimed in claims 1 and 18 above. Win further taught wherein the contents of the configuration file are defined by a network administrator (col. 12, lines 45-50).

Office Action of October 22, 2004, page 4, paragraph 10.

Claims 2 and 15 depend from claims 1 and 13, respectively, and therefore should be allowable for the same reasons given above. In addition, neither Pereira nor Win show a configuration file, as discussed above, so neither Pereira nor Win can show an administrator defining the contents of the configuration file.

The examiner asserts that Win does show the claim feature, citing the following text:

Administration Application 114 is used by administrators to configure server components of the system, to set up user and resource records, assign roles to users and resources and manage changes to the system. The Administration Application provides these services by reading and writing information in Registry Server 108.

Win, col. 12, lines 45-50.

The examiner misapprehends Win. The cited text discusses configuring server components of a system, setting up user and resource records, assigning roles to users and resources, and managing changes to the system. However, the cited text does not discuss storing a configuration file on a network server, as claimed. Pereira fails to cure the lack of disclosure in Win. Thus, the proposed combination does not result in the claimed inventions. Accordingly, the examiner has failed to state *prima facie* obviousness rejections of claims 2 and 15.

### A.3 Claim 3

Regarding claim 3, the examiner asserts that:

11. As per claim 3, Pereira and Win taught the invention substantially as claimed in claim 1 above. Win further taught wherein the configuration file is stored on a network server (col. 12, lines 2-6; col. 16, lines 43-54; col. 23, lines 20-23).

Office Action of October 22, 2004, page 4, paragraph 11.

Claim 3 depends from claim 1, and therefore is patentable over Pereira in view of Win as discussed above. In addition, the examiner misapprehends Win. The cited text is as follows:

Authentication Server Module 606 provides access to the Registry Repository 110, which stores User, Resource, and Role information. Access Control Library 610 also provides access to the Registry Repository.

Win, col. 12, lines 2-6.

For example, consider a user who is defined in the Registry Repository as having a Record Type of User, a Record Name of Harvey, and a Role of Hotline Staff. A field in the Admin Role record specifies whether that user is assigned the "configuration privilege". This privilege allows an administrator to configure and maintain servers in the system. For example, the Registry Repository contains a record having a Record Type of Admin Role, a Record Name of Hotline Staff, a Configuration Privilege of No, and an Administration Privilege of HelpDesk Admin. Another field in the Admin Role record specifies the set of administrative functions that may be performed.

Win, col. 12, lines 43-54.

In the preferred embodiment, Administration Application 114 can generate reports that list information stored in Registry Repository 110. For example, Administration Application 114 generates a Roles By Resource report that lists roles that are supported by specified resources.

Win, col. 23, lines 20-23.

As the cited text shows, Win does not teach wherein the configuration file is stored on a network server because Win does not teach creating a configuration file in the first place.

Therefore, the examiner has failed to state a prima facie obviousness rejection of claim 3.

#### A.4 Claims 5 and 19

Regarding claims 5 and 19, the examiner states that:

12. As per claims 5 and 19, Pereira and Win taught the invention substantially as claimed in claims 1 and 18 above. Pereira further taught wherein said resource attachment program is stored on the client computer (col. 7, lines 19-22).

Office Action of October 22, 2004, page 4, paragraph 12.

Claims 5 and 19 depend on claims 1 and 18, and therefore are patentable over Pereira in view of Win. In addition, the examiner has again failed to state prima facie obviousness rejections because Pereira does not show a resource attachment program as claimed.

The examiner does assert that Pereira shows the claim feature, citing the following text:

Preferably, the resource control system and method of the present invention are implemented by an access control program which is installed on the PC once a user is given access to the system.

Pereira, col. 7, lines 19-22.

The cited text merely refers to an access control program installed on an individual computer for securing resources. The access control program secures resources on the individual computer by controlling the computer's boot record, as described above. The cited text does not in any way show the features of claims 5 and 19. Win fails to cure the lack of disclosure in Win. Thus, the proposed combination does not result in the claimed inventions. Accordingly, the examiner has failed to state prima facie obviousness rejections of claims 5 and 19.

#### A.5 Claims 6 and 20

Regarding claims 6 and 20, the examiner asserts that:

13. As per claims 6 and 20, Pereira and Win taught the invention substantially as claimed in claims 1 and 18 above. Win further taught wherein the resource attachment program is stored on a network server (fig. 7; col. 12, lines 51-53).

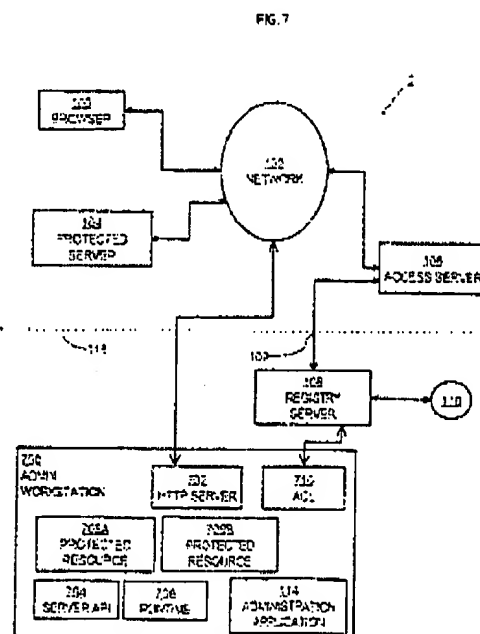
Office Action of October 22, 2004, page 4, paragraph 13.

Claims 6 and 20 depend from claims 1 and 18, respectively, and therefore are patentable over Pereira in view of Win. In addition, Win does not teach that the resource attachment program is stored on a network server, as claimed.

The examiner does assert that Win shows the claim feature:

FIG. 7 is a block diagram of a preferred embodiment of Administration Application 114 incorporated in an administrator workstation 700. Win, col. 12, lines 51-53

Figure 7 is as follows:



The cited text and Figure 7 do not show a resource attachment program stored on a network server as claimed. Although Figure 7 does show a registry server, nowhere does it indicate the claimed feature. Pereira fails to cure the lack of disclosure in Win. Thus, the proposed combination does not result in the claimed inventions. Accordingly, the examiner has failed to state prima facie obviousness rejections of claims 6 and 20.

In addition, Win does not teach a resource attachment program. Therefore, Win cannot show a

resource attachment program attached to a network server, as claimed in claims 6 and 20. **Pereira** fails to cure the lack of disclosure in Win. Thus, again, the proposed combination does not **result in** the claimed inventions. Accordingly, the examiner has failed to state prima facie obviousness rejections of claims 6 and 20.

#### **A.6 Claims 7 and 21**

Regarding claims 7 and 21, the examiner asserts that:

14. As per claims 7 and 21, Pereira and Win taught the invention substantially as claimed in claims 1 and 18 above. Win further taught wherein the step of attaching resources to a client further comprises creating a record of all successfully attached resources (col. 13, lines 16-19; col. 23, lines 25-32).

Office Action of October 22, 2004, page 4, paragraph 14.

Claims 7 and 21 depend from claims 1 and 18. Thus, claims 7 and 21 are patentable over Pereira in view of Win for the same reasons given above.

In addition, the examiner's statement is incorrect. Win teaches that lists of roles and resources are associated with each other and are stored in a centralized database. However, Win does not discuss attaching resources to a client and does not discuss creating a record of all successfully attached resources. The examiner asserts otherwise, citing from Win as follows:

Reports may list resources accessible to particular users, roles and users that can access particular resources or users and resources that have been assigned particular roles.

Win, col. 13, lines 16-19.

Administration Application 114 generates a Users By Resource report that lists users having access to specific resources, and the users' roles.

Administration Application 114 generates a Resources By Role report that lists resources assigned to specific roles. Administration Application 114 generates a Users By Role report that lists users assigned to specific roles.

Win, col. 23, lines 25-32.

As can be plainly seen from the cited text, Win does not show creating a record of all

successfully attached resources. Win does disclose listing resources *accessible* to particular users and resource that have been assigned *particular roles*. Win also discloses a report that lists users having access to specific resources and a report that lists resources *assigned to specific roles*. However, Win does not disclose creating a record of all *successfully attached* resources. Pereira fails to cure the lack of disclosure in Win. Thus, the proposed combination does not result in the claimed inventions. Accordingly, the examiner has failed to state prima facie obviousness rejections of claims 7 and 21.

#### A.7 Claims 8 and 22

Regarding claims 8 and 22, the examiner states that:

15. As per claims 8 and 22, Pereira and Win taught the invention substantially as claimed in claims 7 and 21 above. Win further taught wherein the record is stored on the client (col. 13, lines 20-21; col. 23, lines 47-51).

Office Action of October 22, 2004, page 5, paragraph 15.

Claims 7 and 21 depend from claims 1 and 18. Thus, claims 7 and 21 are patentable over Pereira in view of Win for the same reasons given above.

In addition, the examiner's statement is incorrect. Win does not show "wherein the record is stored on the client," as claimed. The examiner asserts otherwise, citing Win as follows:

A short report is returned as an HTML page to be displayed by browser 100.

Win, col. 13, lines 20-21.

In response, Administration Application 114 generates the selected report. Reports that do not exceed the capacity of browser 100 are displayed as HTML pages at the browser. Longer reports are generated in the form of a text file that can be downloaded.

Win, col. 23, lines 47-51.

The cited text mentions generating selected reports and downloading longer reports in the form



of a text file. However, none of the reports mentioned in Win are that of successfully attached resources. Pereira fails to cure the lack of disclosure in Win. Thus, the proposed combination does not result in the claimed inventions. Accordingly, the examiner has failed to state prima facie obviousness rejections of claims 8 and 22.

#### **A.8 Claims 9 and 23**

Regarding claims 9 and 23, the examiner states that:

16. As per claims 9 and 23, Pereira and Win taught the invention substantially as claimed in claims 7 and 21 above. Win Further taught wherein the record is stored on a network server (col. 13, lines 21-23). Office Action of October 22, 2004, page 5, paragraph 16.

Claims 9 and 23 depend from claims 1 and 18 respectively. Thus, claims 9 and 23 are patentable over Pereira in view of Win for the same reasons given above.

In addition, the examiner's statement is incorrect. The cited text provides as follows:

Longer reports are processed in the background and saved in a tab-delimited file. The URL of the report file is sent to the administrator by electronic mail.  
Win, col. 13, lines 21-23.

The cited text plainly does not disclose storing the claimed record on a network server as claimed. Although Win does mention "reports," none of the reports discussed in Win describe whether a resource has been successfully attached. Pereira fails to cure the lack of disclosure in Win. Thus, the proposed combination does not result in the claimed inventions. Accordingly, the examiner has failed to state prima facie obviousness rejections of claims 9 and 23.

#### **B. GROUND OF REJECTION 2 (Claims 10, 11, 24, 25, and 28)**

The examiner has rejected claims 10, 11, 24, 25, and 28 as being obvious over Pereira in view

of Win in view of Hudson et al, System and Method for Accessing Enterprise Wide Resources by Presenting to the Resource Temporary Credential, U.S. Patent 6,055,637 (Apr. 25, 2000).

The examiner has failed to establish prima facie obviousness rejections of these claims because the proposed combination does not result in claimed inventions. As discussed above, the combination of Pereira and Win do not teach all the elements of claims 1, 18, and 27, from which claims 10, 11, 24, 25, and 28 depend. Moreover, Hudson fails to cure the lack of disclosure in Pereira and Win with respect to claims 1, 18, and 27. Therefore, the examiner has also failed to establish prima facie obviousness rejections for dependent claims 10, 11, 24, 25, and 28.

#### **B.1 Claims 10, 24, and 28**

Regarding claims 10, 24, and 28, the examiner states that:

19. As per claims 10, 24 and 28, Pereira and Win taught the invention substantially as claimed in claims 1, 18 and 27 above. Pereira and Win did not teach unattaching the resources when the user log out. Hudson taught comprising:

receiving a log out command from the user and unattaching the attached resources (col. 1, lines 67-col. 2, lines 2; col. 5, lines 54-col. 6, lines 4).

20. It would have been obvious to one having ordinary skill in the art at the time of the invention was made to combine the teachings of Pereira, Win and Hudson because Hudson's teaching of unattaching the resources would increase the efficiency of Pereira's and Win's systems by allowing the unattached resources to be allocating to another user.

Office Action of October 22, 2004, page 5-6, paragraphs 19-20.

The examiner misapprehends Hudson. Hudson does not teach the attachment of resources as asserted by the examiner. Instead, Hudson only prevents access to resources. The cited text provides as follows:

The temporary credential token is communicated to the resource to allow access by the user, and deleted as the user logs off the resource.  
Hudson, col. 1, lines 67 through col. 2, lines 2.

When user 90 logs off from application program 94 at the end of the session, application program 94 terminates the session, and security package 96 deletes the temporary user credential token and also terminates the temporary access permission, as shown in blocks 132-136. User 90 then logs off the network in block 138, and platform 92 then deletes the temporary user credential token and terminates the session in block 140. Hudson, col. 5, lines 64 through col.6, lines 4.

The cited text plainly shows that Hudson does not actually detach resources. Hudson only prevents access to them. The user credential token allows a user to gain access to a resource, much like a password may be used to gain access to certain resources. The resources in Hudson remain attached to the relevant computer. Hudson does not show actually detaching the resources as claimed. Therefore, the proposed combination does not result in the claimed inventions. Accordingly, the examiner has failed to state prima facie obviousness rejections of claims 10, 24, and 28.

In addition, the examiner's statement regarding why it would have been obvious to combine the references makes no sense because, as discussed above, Hudson does not teach what the examiner says Hudson teaches. Because the statement makes no sense, the statement cannot serve as a motivation to combine the references. As the examiner has not provided a proper motivation to combine the references, the examiner again has failed to state prima facie obviousness rejections of claims 10, 24, and 28.

In addition, Hudson is directed to a substantially different technology than either the claimed inventions or the other cited references. Hudson is directed towards using a temporary token to control access to computer system resources. Pereira is directed to controlling access to an individual computer's resources by controlling the boot record. Win is directed to defining administrative roles over a network. The three references are very different from each other. Thus, no reason exists why one of ordinary skill would want to combine Pereira and the other references

when the references are viewed as a whole. Moreover, the claimed inventions deal with attaching network resources to a local computer using an attachment program, which has nothing to do with any of the cited references. Accordingly, no one of ordinary skill would attempt to combine the references to achieve the claimed inventions. Therefore, the claims 10, 24, and 28 are non-obvious.

Furthermore, the proposed combination is inoperative. It is not possible to combine Hudson's method of using tokens to control access to computer system resources and Pereira's method of controlling an individual computer's boot record. The two methods are mutually exclusive. Because the proposed combination is inoperative, claims 10, 24, and 28 are non-obvious.

## B.2 Claims 11 and 25

Regarding claims 11 and 25, the examiner states that:

21. As per claims 11 and 25, Pereira and Win taught the invention substantially as claimed in claims 7 and 21 above. Pereira and Win did not teach deleting the record of attached resources when a user log out. Hudson taught comprising:  
receiving a log out command from the user and deleting the record of attached resources (col. 5, lines 64-col. 6, lines 4).

22. It would have been obvious to one having ordinary skill in the art at the time of the invention was made to combine the teaching of Pereira, Win and Hudson because Hudson's teaching of deleting the record of attached resources would increase the security of Pereira's and Win's systems by preventing another user from accessing the record of attached resources.

Office Action of October 22, 2004, page 6, paragraphs 21-22.

Claims 11 and 25 depend on claims 1 and 18, respectively. Hudson fails to cure the lack of disclosure in Win and Pereira regarding claims 1 and 18. Thus, the proposed combination does not result in the claimed inventions. Accordingly, the examiner has failed to state prima facie obviousness rejections of claims 11 and 25.

In addition, Hudson does not teach receiving a logout command and deleting the record of

attached resources as claimed. The examiner asserts otherwise, citing the following text:

When user 90 logs off from application program 94 at the end of the session, application program 94 terminates the session, and security package 96 deletes the temporary user credential token and also terminates the temporary access permission, as shown in blocks 132-136. User 90 then logs off the network in block 138, and platform 92 then deletes the temporary user credential token and terminates the session in block 140.

Hudson, col. 5, line 64 through col. 6, line 4.

The cited text discusses deleting a temporary user token, which is akin to deleting a user password when logging out of a system. However, the cited text plainly does not discuss deleting a record of attached resources as claimed. Pereira and Win fail to cure the lack of disclosure in Hudson. Thus, the proposed combination does not result in the claimed inventions. Accordingly, the examiner has failed to state prima facie obviousness rejections of claims 11 and 25.

#### C. GROUND OF REJECTION 2 (Claims 12 and 26)

The examiner has rejected claims 12 and 26 as obvious over Pereira in view of Win in view of Bauer et al, Method for Controlling Resource Usage by Network Identities, U.S. Patent 5,819,047 (Oct. 6, 1998). The examiner has failed to establish prima facie obviousness rejections of these claims because the proposed combination does not result in claimed inventions. As discussed above, the combination of Pereira and Win do not teach all the elements of claims 1 and 18, from which claims 12 and 26 depend. Moreover, Bauer fails to cure the lack of disclosure in Pereira and Win with respect to claims 1 and 18. Therefore, the examiner has also failed to establish prima facie obviousness rejections for dependent claims 12 and 26. Accordingly, the examiner has failed to state prima facie obviousness rejections of these claims.

In addition, the examiner states that:

25. As per claims 12 and 26, Pereira and Win taught the invention substantially as claimed in claims 1 and 18 above. Pereira and Win did

not teach the client computer uses the UNIX operating system. Bauer taught wherein the client computer uses the UNIX operating system (col. 1, lines 31-40; col. 3, lines 31-48).

26. It would have been obvious to one having ordinary skill in the art at the time of the invention was made to combine the teachings of Pereira, Win and Bauer because Bauer's teaching of using the UNIX operating system would enhance Pereira's and Win's systems by increasing the field of use in their systems.

Office Action of October 22, 2004, page 7, paragraphs 25-26.

The examiner has failed to state prima facie obviousness rejections because the proposed combination does not result in the claimed inventions. Bauer shows a method of allocating a quota for maximum resource usage over a network, including networks that have computers that use the UNIX operating system. However, Bauer does not show associating resources locally in the first place. Resources must still be located and attached locally on each individual computer. Bauer does not contradict this fact, and indeed, seems to acknowledge this fact as shown by the following text cited by the examiner:

As a result, a user's typical log on session would require the user to enter his/her user identifier(s) and password(s) several times to gain access to a number of different resources. Each resource is required to independently authenticate the user's identifier and password before entry is granted. If the user logs off a resource but later desires access to the same resource again during the same session, he/she must reenter the user identifier and password to regain entry.

Bauer, col. 1, lines 31-40.

The cited text discusses controlling *access* to resources on a UNIX local computer. The cited text does not discuss associating resources based on a configuration file as claimed. Thus, one of ordinary skill would assume that the UNIX operating system would require that require that resources be assigned locally at each individual computer before they can be accessed using Bauer's method. Accordingly, Bauer does not teach a system as shown in Pereira or Win where the client computer uses the UNIX operating system, as asserted by the examiner.

Nevertheless, the examiner cites the following text from Bauer to support the examiner's assertion:

Each subject is preferably identified by a unique identifier, which is used as a key for accessing subject information. Subject information may include validation information, authorization information, and general information. Validation information is used to verify the identity of a subject and may take different forms, such as a password, fingerprint, voice spectrum, signature, and other unique properties of the user. Validation information is preferably stored in an encrypted format. Authorization information is used to determine whether the subject is authorized to access the selected object. Authorization information may define organizational groups, functional groups, or roles. Lastly, general information may include additional data on the user, such as name, phone number, work location, e-mail address. General information is typically not used for the implementation of security or resource access control but is mainly used for problem resolution and application inquiries.

Bauer, col. 3, lines 31-48.

Again, the examiner has cited text that refers to implementing network-wide quotas to resources and controlling access to resources. The cited text does not discuss implementing or associating resources at the client computer. Because Bauer does not show the claim limitations, and because Pereira and Win fail to cure the lack of disclosure in Bauer, the proposed combination does not result in the claimed inventions. Therefore, the examiner has failed to state prima facie obviousness rejections of claims 12 and 26.

In addition, the examiner has failed to state a prima facie obviousness rejection because the examiner has failed to state a proper motivation to combine the references. The examiner's statement that Bauer's teaching of the UNIX operating system would enhance Pereira's and Win's systems by increasing their field of use is nonsensical in the light that Bauer does not teach using the UNIX operating system in the manner suggested by the examiner. Accordingly, the statement cannot serve as a motivation to combine the references. Thus, the examiner has failed to state prima facie obviousness rejections.

Because the statement is so clearly incorrect in view of Bauer, the examiner must have simply

looked for the term UNIX and picked the Bauer reference simply because it cites the UNIX operating system. It is improper for the examiner to simply pick and choose elements among references; instead, the examiner must provide a valid motivation to combine the references, which has not been done. Therefore, the examiner has failed to state prima facie obviousness rejections.

In addition, claims 12 and 26 are non-obvious in view of Pereira, Win, and Bauer because each reference is directed towards different methods. There is no reason why one of ordinary skill would believe that the claimed system could be derived from the three references given the extreme differences between the references. Accordingly, claims 12 and 26 are non-obvious.

In addition, Bauer is relatively old in the art of computers and computer programs. Bauer issued in 1998. In the intervening 7 years, no one of ordinary skill has combined the references in the manner suggested by the examiner to meet the claimed inventions. Given the advantages the claimed invention has over the prior art, and given the rapid advance of the arts of computer hardware and software generally, had the claimed invention been obvious, then one of ordinary skill would have already combined the references. Accordingly, claims 12 and 26 are non-obvious.

#### **D. Summary**

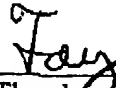
The examiner's rejections are based on a fundamentally flawed interpretation of Win, Pereira, Hudson, and Bauer and a misunderstanding of the claimed methods and systems. None of the cited references show or suggest defining the contents of a configuration file for each network user, as claimed. None of the cited references show or suggest that said given operating system requires that attachment of resources to said given computer be performed on said given computer, as claimed. None of the cited references show or suggest matching the user identity with the user configuration file because none of the references show a configuration file. None of the cited



references show or suggest executing a resource attachment program as claimed. Thus, none of the cited references show or suggest the bulk of the limitations of the claimed inventions. Accordingly, the proposed combinations do not result in the claimed inventions. For this reason, the examiner has failed to state prima facie obviousness rejections against any of the claims.

In addition, because the examiner misapprehends the claims and the references, the examiners assertions regarding why the claims are obvious are not proper motivations to combine the references. Thus, the examiner has failed to state prima facie obviousness rejections.

In addition, combining the references is either impracticable or impossible, as described above. Thus, the claims are non-obvious in view of the cited references.



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CLAIMS APPENDIX

The text of the claims involved in the appeal is as follows:

1. (Previously presented) A method for managing resources in a computer network, comprising:
  - defining the contents of a configuration file for each network user;
  - receiving a login identification from a user on a given computer that uses a given operating system, wherein said given operating system requires that attachment of resources to said given computer be performed on said given computer;
  - matching the user identity with the said user configuration file; and
  - in response to said matching step, executing a resource attachment program on said given computer to attach attaching network resources to a client said given computer based on the user identity and the contents of the said user configuration file.
2. (Original) The method according to claim 1, wherein the contents of the configuration file are defined by a network administrator.
3. (Original) The method according to claim 1, wherein the configuration file is stored on a network server.
4. (Cancelled)

5. (Previously presented) The method according to claim 1, wherein said resource attachment program is stored on the client computer.
6. (Previously presented) The method according to claim 1, wherein said resource attachment program is stored on a network server.
7. (Original) The method according to claim 1, wherein the step of attaching resources to a client further comprises creating a record of all successfully attached resources.
8. (Original) The method according to claim 7, wherein the record is stored on the client.
9. (Original) The method according to claim 7, wherein the record is stored on a network server.
10. (Original) The method according to claim 1, further comprising:  
receiving a log out command from the user; and  
unattaching the attached resources.
11. (Original) The method according to claim 7, further comprising:  
receiving a log out command from the user; and  
deleting the record of attached resources.

12. (Original) The method according to claim 1, wherein the client computer uses the UNIX operating system.

13. (Cancelled)

14. (Cancelled)

15. (Previously presented) The computer program product according to claim 18, wherein the contents of the configuration file are defined by a network administrator.

16. (Cancelled)

17. (Cancelled)

18. (Previously presented) A computer program product in a computer readable medium for use in a data processing system for managing resources in a computer network, the computer program product comprising:

instructions for defining contents of a respective configuration file for each network user;  
instructions for receiving a login identification from a user on a client computer;  
instructions for matching the user identity with said respective user configuration file;  
instructions for reading the contents of said respective user configuration file; and  
instructions for attaching network resources to said client computer based on the user identity and the contents of said respective user configuration file;

wherein said computer program product is configured to run under an operating system that requires that resources be attached to a computer by a program running on said computer.

19. (Original) The computer program product according to claim 18, wherein the program is stored on a client computer.

20. (Original) The computer program product according to claim 18, wherein the program is stored on a network server.

21. (Original) The computer program product according to claim 18, further comprising instructions for creating a record of all successfully attached resources.

22. (Original) The computer program product according to claim 21, wherein the record is stored on a client computer.

23. (Original) The computer program product according to claim 21, wherein the record is stored on a network server.

24. (Original) The computer program product according to claim 18, further comprising:  
instructions for receiving a log out command from the user; and  
instructions for unattaching the attached resources.

25. (Original) The computer program product according to claim 21, further comprising:  
instructions for receiving a log out command from the user; and  
instructions for deleting the record of attached resources.
26. (Original) The computer program product according to claim 18, wherein the program runs on a UNIX operating system.
27. (Previously presented) A system for managing resources in a computer network, comprising:  
means for defining the contents of a configuration file for each network user;  
means for receiving a login identification from a user;  
means for matching the user identity with the user configuration file; and  
means for attaching network resources to a client computer based on the user identity and the contents of the user configuration file, wherein said computer network is configured to run on an operating system that requires that attachment of resources to a given computer be performed on said given computer.
28. (Original) The system according to claim 27, further comprising:  
means for receiving a log out command from the user; and  
means for unattaching the attached resources.

EVIDENCE APPENDIX

There is no evidence to be presented other than what already appears in the record.

**RELATED PROCEEDINGS APPENDIX**

There are no related proceedings.